

98 Rec'd PCT/PTO 09 JAN 2002

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/926,513

INTERNATIONAL APPLICATION NO.

PCT/DE00/01310

INTERNATIONAL FILING DATE

21 April 2000

PRIORITY DATE CLAIMED

14 May 1999

TITLE OF INVENTION

METHOD OF PRODUCING ALUMINUM OXIDES AND PRODUCTS OBTAINED ON THE BASIS THEREOF

APPLICANT(S) FOR DO/EO/US

Andreas KRELL and Hongwei MA

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.

1. ☐ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
4. ☐ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).  
"EXECUTED"
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (U.S.C. 371(c)(5)).

Items 11 to 16 below concern other document(s) or information included:

11. Assignee: FRAUNHOFER-GESELLSCHAFT ZUR FÖRDERUNG DER ANGEWANDTEN FORSCHUNG E.V., of München, GERMANY
12. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
13. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
14. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ Figure of Drawing to be published \_\_\_\_\_
18. ☒ Other items or information:  
Cover Letter  
Cover Letter Submitting Amended pages of the application. (7 modified sheets)  
English Language Translation of the International Application. (30 pages of the specification)

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)  
09/926,513

INTERNATIONAL APPLICATION NO.  
PCT/DE00/01310

ATTORNEY'S DOCKET NUMBER  
P21519

19. ☒ The following fees are submitted:

Basic National Fee (37 CFR 1.492(a)(1)-(5)):

Search report has been prepared by the EPO or JPO. . . . . \$ 890.00

International preliminary examination fee paid to USPTO (37 CFR 1.482). . . . . \$ 710.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)). . . . . \$ 740.00

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO. . . . . \$1,040.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4). . . . . \$ 100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS

PTO USE ONLY

\$ 0.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☒ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$ 130.00

Claims	Number Filed	Number Extra	RATE
Total Claims	23 - 20 =	3	X \$18.00
Independent Claims	3 - 3 =	0	X \$84.00
Multiple dependent claim(s) (if applicable)			+ \$280.00
TOTAL OF ABOVE CALCULATIONS =			\$ 184.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.			\$ 0.00
SUBTOTAL =			\$ 184.00
Processing fee of \$130.00 for furnishing the English translation later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			+ 130.00
Extension of Time fee in the amount of \$			0.00
TOTAL NATIONAL FEE =			\$ 314.00
Fee for recording the enclosed assignment (37 CFR 1.21(h). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property			+ 0.00
TOTAL FEES ENCLOSED =			\$ 314.00

\$ 0.00

Total Claims 23 - 20 = 3 X \$18.00 \$ 54.00

Independent Claims 3 - 3 = 0 X \$84.00 \$ 0.00

Multiple dependent claim(s) (if applicable) + \$280.00 \$ 0.00

TOTAL OF ABOVE CALCULATIONS = \$ 184.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. \$ 0.00

SUBTOTAL = \$ 184.00

Processing fee of \$130.00 for furnishing the English translation later than ☒ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492(f)). + 130.00

Extension of Time fee in the amount of \$ 0.00

TOTAL NATIONAL FEE = \$ 314.00

Fee for recording the enclosed assignment (37 CFR 1.21(h). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + 0.00

TOTAL FEES ENCLOSED = \$ 314.00

01/11/2002 LLANDORA 00000006 05526513

01 FC:154	130.00	OP
02 FC:966	54.00	OP
03 FC:156	130.00	OP

Amount to be refunded \$

Charged \$

a. ☒ A check in the amount of \$314.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_ to cover the above fees.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0089.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO CUSTOMER NO. 7055  
AT THE PRESENT ADDRESS OF:

Neil F. Greenblum  
GREENBLUM & BERNSTEIN, P.L.C.  
1941 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191

SIGNATURE

Neil F. Greenblum  
NAME

28,394  
REGISTRATION NUMBER



## UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
 United States Patent and Trademark Office  
 Washington, D.C. 20523  
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/926,513	Andreas Krell	P21519

07055  
 GREENBLUM & BERNSTEIN, P.L.C.  
 1941 ROLAND CLARKE PLACE  
 RESTON, VA 20191

INTERNATIONAL APPLICATION NO.	
PCT/DE00/01310	
LA. FILING DATE	PRIORITY DATE
04/21/2000	05/14/1999

CONFIRMATION NO. 6687  
 371 FORMALITIES LETTER



\*OC000000007208030\*

Date Mailed: 12/19/2001

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Search Report
- Request for Immediate Examination

**RECEIVED**

**DEC 26 2001**

**GREENBLUM & BERNSTEIN PLC**

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 30 months from the priority date (37 CFR 1.492(f)).
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months from the priority date (37 CFR 1.492(e)) is required.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Rec'd PCT/PTO 9 JAN 2002

P21519.P07

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : A. KRELL et al.

Serial No : 09/926,513  
(National Stage of PCT/DE00/01310)

I.A. Filed : 21 April 2000

For : METHOD OF PRODUCING ALUMINUM OXIDES AND PRODUCTS  
OBTAINED ON THE BASIS THEREOF

COVER LETTER

Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

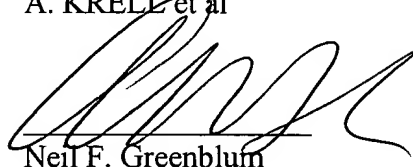
In order to comply with the requirements (copy enclosed) for the submission of an executed declaration of the International Application set forth in the Notification mailed December 19, 2001 which sets a two month period of response until February 19, 2002, Applicants hereby submit:

- Transmittal Letter to the United States Designated/Elected Office Concerning a Filing Under 35 U.S.C. 371
- an executed Declaration and Power of Attorney;
- a Preliminary Amendment and Cover Letter Submitting Amended Pages of application (including 7 modified sheets)..
- an English Language Translation of the International Application as filed (including 30 pages of the specification).
- a check in the amount of \$314.00 for which \$54.00 is payment of claims in excess of twenty, \$130.00 is payment for the english language translation of the international application as filed and \$130.00 to cover the surcharge for late filing of the Declaration.

The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 19-0089.

Should the Examiner have any questions, he is invited to contact the undersigned at the below listed number.

Respectfully submitted,  
A. KRELL et al



Neil F. Greenblum  
Reg. No. 28,394

*Reg No 33,094*

January 9, 2002  
GREENBLUM & BERNSTEIN, P.L.C.  
1941 Roland Clarke  
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